



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT TRANSMITTAL FORM

Applicant: Xu  
Serial No.: 10/680,002  
Filed: October 7, 2003  
For: OPTICAL NOTCH FILTER APPARATUS AND METHOD THEREFOR  
Art Unit: 2872  
Examiner: Not yet assigned  
Attorney Docket: 30011470 US-02  
Customer No.: 27623

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith is:

1. Submission of Priority Document;
2. Information Disclosure Statement;
3. PTO Form 1449 with copies of citations;
4. Transmittal letter in duplicate; and
5. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Date: January 16, 2004

Paul D. Greeley  
Reg. No. 31,019  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10<sup>th</sup> Floor  
Stamford, Connecticut 06901-2682  
(203) 327-4500

**CERTIFICATE OF MAILING**

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450 ON JANUARY 16, 2004.

Allison Berkman  
NAME

Allison Berkman  
SIGNATURE

1/16/04  
DATE



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**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application, filed on October 7, 2003. This Information Disclosure Statement is being filed:

\_\_\_\_\_ Within three (3) months of the filing date of the national application;

\_\_\_\_\_ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;

**XXX** Before the mailing date of a first Office Action on the merits;

\_\_\_\_\_ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p); and

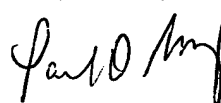
After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to or subsequent to the payment of the Issue Fee and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p).

Filing with RCE Under 37 CFR 1.114.

Also enclosed are copies of U.S. Patent Nos. 5,570,139, 6297,907 and 2002/0140937; UK Patent Application No. 2 192 070; European Publication No. 0 415 735 and European Search Report Application No. EP 02 25 7122.

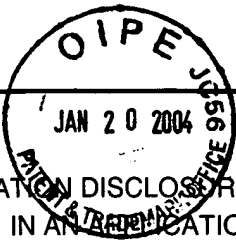
It should be understood that attention has been called to the references that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



January 16, 2003

Paul D. Greeley  
Reg. No. 31,019  
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Sheet 1 of 1.

FORM PTO-1449  INFORMATION DISCLOSURE CITATION IN AN APPLICATION  (Use several sheets if necessary)	Docket Number (Optional)	Application Number
	30011470 US-02	10/680,002
	Applicant	
	Xu	
	Filing Date	Group Art Unit
	October 7, 2003	2872

## U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,570,139	10/29/96	Wang	348	744	
	6,297,907	10/2/01	Wang	359	585	
	2002/0140937	10/3/02	Lieberman	356	445	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	2 192 070	31.12.87	UK			X	
	0 415 735	6.03.91	Europe			X	

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

	Verdrager, V., European Search Report Application No. EP 02 25 7122 dated 27 February 2003.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.